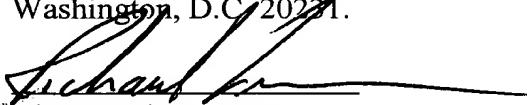


Rec'd PCT/PTO 04 MAY 2001  
HJ

PATENT  
19036/37157

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N. ) CERTIFICATE OF MAILING BY  
Serial No.: 09/763,712 ) EXPRESS MAIL  
Filed: Feb. 26, 2001 ) "EXPRESS MAIL" mailing label  
(US National Phase of PCT/JP99/04552, ) No. EL827655848US  
Filed 24 August 1999 )  
Title: "Novel Collectin" ) Date of Deposit: May 4, 2001  
Group Art Unit: To Be Determined )  
Examiner: To Be Determined ) I hereby certify that this paper and the  
Docket No: 19036/37157 ) documents referred to herein as enclosed  
 ) herewith are being deposited with the  
 ) United States Postal Service "EXPRESS  
 ) MAIL POST OFFICE TO  
 ) ADDRESSEE" service under 37 C.F.R.  
 ) §1.10 on the date indicated above and  
 ) are addressed to the Commissioner for  
 ) Patents, Box PCT  
 ) Washington, D.C. 20231.

  
Richard Zimmermann

**RESPONSE TO NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR  
PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR  
AMINO ACID SEQUENCE DISCLOSURES**

BOX PCT  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures dated April 20, 2001, attached hereto as **Exhibit A** is a copy of U.S. Form PTO-1390 indicating at Item 20 that the Computer Readable Copy of Sequence Listing and Statement Regarding Sequence Listing pursuant to 37 C.F.R. 1.825(a) and 1.825(b) were transmitted when the application was filed by Express Mail on February 26, 2001.

Also attached hereto as **Exhibit B** is a copy of the Certification Under 37 C.F.R. 1.10 indicating at items (e) and (g) that the computer readable copy of the sequence listing and the paper copy of the sequence listing filed with and attached to the Statement Regarding Sequence Listing were enclosed therewith.

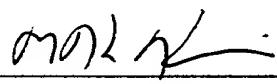
Finally, a copy of the date-stamped postcard received from the Patent Office indicating receipt of all items listed thereon is attached as **Exhibit C**.

However, to expedite the examination process, Applicant herewith re-submits a copy of the sequence listing and another diskette with the computer readable sequence listing. Pursuant to the requirement of Form PCT/DO/EO/920 (copy attached), Applicant directs the Patent Office to enter the substitute sequence listing, originally filed on February 26, 2001, into the specification for this application (See Preliminary Amendment "B"). The paper and computer readable copies of the sequence listing filed herewith are the same as each other and do not introduce new matter.

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,  
MURRAY & BORUN  
6300 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6402

Date: May 4, 2001

  
\_\_\_\_\_  
Mark H. Hopkins  
Reg. No. 44,775

Rec'd PCT/PTO 04 MAY 2001

#3

PATENT  
19036/37157

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N.

) CERTIFICATE OF MAILING BY

) EXPRESS MAIL

) "EXPRESS MAIL" mailing label

) No. EL827655848US

Serial No.: 09/763,712

) Date of Deposit: May 4, 2001

Filed: Feb. 26, 2001

(US National Phase of PCT/JP99/04552,

Filed 24 August 1999)

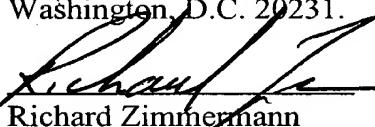
Title: "Novel Collectin"

) I hereby certify that this paper and the  
documents referred to herein as enclosed  
herewith are being deposited with the  
United States Postal Service "EXPRESS  
MAIL POST OFFICE TO  
ADDRESSEE" service under 37 C.F.R.  
§1.10 on the date indicated above and  
are addressed to the Commissioner for  
Patents, Box PCT  
Washington, D.C. 20231.

Group Art Unit: To Be Determined

Examiner: To Be Determined

Docket No: 19036/37157

  
Richard Zimmermann

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C.  
371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

BOX PCT  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371, Applicant submits herewith the executed inventor's declaration, a copy of the Notice, and a check in the amount of \$130.00 for the surcharge for submission after 30 months of the priority date as set

forth in 37 C.F.R. 1.492(e).

If any other fees are due and owed in view of this submission, Applicant authorizes the Patent Office to charge Deposit Account No. 13-2855.

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,  
MURRAY & BORUN  
6300 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6402

Date: May 4, 2001

mjh  
Mark H. Hopkins  
Reg. No. 44,775



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/763712	WAKAMIYA	N 19036/37157

HOPKINS, MARK H.  
6300 SEARS TOWER  
233 SOUTH WACKER DRIVE  
CHICAGO, IL 60606

RECEIVED

APR 25 2001

PCT/JP99/04552

MARSHALL O'TOOLE

I.A. FILING DATE      PRIORITY DATE  
24 AUG 99      24 AUG 98

DATE MAILED: 20 APR 2001

Docketed: 4/20/01

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494)  an Elected Office (37 CFR 1.495):

U.S. Basic National Fee.  Indication of Small Entity Status.  
 Copy of the international application.  Translation of the international application into English.  
 Oath or Declaration of inventor(s).  Translation of Article 19 amendments into English.  
 Copy of Article 19 amendments.  Other: Sequence Listing( 17 sheets)  
 Priority Document. Preliminary Amendment  
 The International Preliminary Examination Report in English and its Annexes, if any.  
 Translation of Annexes to the International Preliminary Examination Report into English.

2.  Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment,

U.S. Basic National Fee.  Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
 The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.  
b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).  
 c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
 The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.  
 d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ \_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5.  Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes MUST be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

*A copy of this notice MUST be returned with this response.*

Enclosed:  PCT/DO/EO/917  
 PTO-875

Notice of Defective Translation  
 PCT/DO/EO/920

*JF* Francine Young

Telephone: 703-305-3662

FORM PTO-1390 (Modified) (REV 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 137157
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 09/763,712
INTERNATIONAL APPLICATION NO. PCT/JP99/04552	INTERNATIONAL FILING DATE 24 August 1999	PRIORITY DATE CLAIMED 24 August 1998		
TITLE OF INVENTION <b>NOVEL COLLECTIN</b>				
APPLICANT(S) FOR DO/EO/US <b>WAKAMIYA, Nobutaka</b>				
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:				
<ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>				
<b>Items 13 to 20 below concern document(s) or information included:</b> <ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input checked="" type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input checked="" type="checkbox"/> Other items or information:</li> </ol>				
<b>COPY OF NOTIFICATION OF MISSING REQUIREMENTS;</b> <b>COMPUTER READABLE COPY OF SEQUENCE LISTING (Duplicate)</b> <b>STATEMENT REGARDING SEQUENCE LISTING PURSUANT TO 37 C.F.R. 1.825 (a) AND 1.825 (b) (copy of original submission); RETURN RECEIPT POSTCARD</b>				

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 09/763,712	INTERNATIONAL APPLICATION NO. PCT/JP99/04552	ATTORNEY'S DOCKET NUMBER 19036/37157
--	---	---

24. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....	\$1000.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....	\$860.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....	\$710.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....	\$690.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....	\$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**\$0.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

20  30

**\$130.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	59 - 20 =	39	x \$18.00	<b>\$702.00</b>
Independent claims	4 - 3 =	1	x \$80.00	<b>\$80.00</b>
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	<b>\$0.00</b>

**TOTAL OF ABOVE CALCULATIONS =** **\$912.00**

<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.	<input type="checkbox"/>	<b>\$0.00</b>
	<b>SUBTOTAL =</b>	<b>\$912.00</b>

Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).	<input type="checkbox"/> 20 <input type="checkbox"/> 30	<input type="checkbox"/>	<b>\$0.00</b>
		+	

**TOTAL NATIONAL FEE =** **\$912.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).	<input type="checkbox"/>	<b>\$40.00</b>
	<b>TOTAL FEES ENCLOSED =</b>	<b>\$952.00</b>

<b>Amount to be:</b>	<b>\$</b>
<b>refunded</b>	
<b>charged</b>	<b>\$</b>

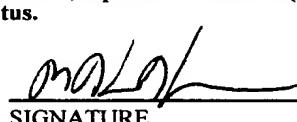
- a.  A check in the amount of **\$952.00** to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **13-2855** A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

HOPKINS, Mark H.  
Customer No. 04743  
MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN  
6300 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606  
United States of America  
05/01/2001 MNGUYEN 00000050 09763712

01 FEE:154 130.00 0P  
02 FEE:966 702.00 0P  
03 FEE:964 80.00 0P

  
SIGNATURE

Mark H. Hopkins

NAME

44,775

REGISTRATION NUMBER

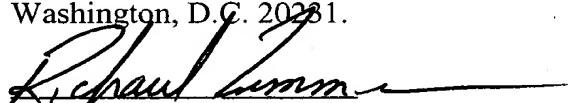
5/4/61  
DATE

Rec'd PCT/PTO 04 MAY 2001

PATENT  
19036/37157

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N. ) CERTIFICATE OF MAILING BY  
Serial No.: 09/763,712 ) EXPRESS MAIL  
Filed: Feb. 26, 2001 ) "EXPRESS MAIL" mailing label  
(US National Phase of PCT/JP99/04552, ) No. EL827655848US  
Filed 24 August 1999 )  
Title: "Novel Collectin" )  
Group Art Unit: To Be Determined )  
Examiner: To Be Determined )  
Docket No: 19036/37157 )  
Date of Deposit: May 4, 2001  
I hereby certify that this paper and the  
documents referred to herein as enclosed  
herewith are being deposited with the  
United States Postal Service "EXPRESS  
MAIL POST OFFICE TO  
ADDRESSEE" service under 37 C.F.R.  
§1.10 on the date indicated above and  
are addressed to the Commissioner for  
Patents, Box PCT  
Washington, D.C. 20231.

  
Richard Zimmermann

CERTIFICATION UNDER 37 CFR 1.10

BOX PCT  
Commissioner for Patents  
Washington, D.C. 20231

I hereby certify the attached items are being deposited with the United States Postal Service on Friday, May 4, 2001 in an Express Mail envelope addressed to BOX PCT, Commissioner for Patents, Washington, D.C. 20231, utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL 827655848 US:

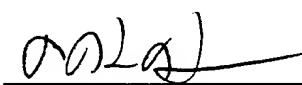
a) Response to Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures with Exhibit A-copy of Form 1390; Exhibit B-copy of previous Certification under 37 CFR 1.10; and Exhibit C-copy of return receipt postcard attached thereto;

- b) Duplicate copy of diskette containing computer readable form of the previously submitted sequence listing;
- c) Response to Notification of Missing Requirements Under 35 U.S.C. 371 with executed Inventor's Declaration and a copy of the Notification attached thereto;
- d) Check for \$130.00 surcharge for submitting declaration after 30 months;
- e) Preliminary Amendment B, including a copy of the previously submitted sequence listing including Statement Regarding Sequence Listing Pursuant to 37 C.F.R. §§1.825(a)(b);
- f) Executed Assignment, PTO Form 1595 and check for \$40.00 recordal fee
- g) Information Disclosure Statement with PTO-Form 1449 and 1 U.S. Patent; 4 foreign patents; and 26 other references.
- h) Return Postcard

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,  
MURRAY & BORUN  
6300 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6402

Date: May 4, 2001

  
\_\_\_\_\_  
Mark H. Hopkins  
Reg. No. 44,775

FORM PTO-1390 (Modified)  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

036/37157

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

INTERNATIONAL APPLICATION NO.  
**PCT/JP99/04552**INTERNATIONAL FILING DATE  
**24 August 1999**PRIORITY DATE CLAIMED  
**24 August 1998**TITLE OF INVENTION  
**NOVEL COLLECTIN**APPLICANT(S) FOR DO/EO/US  
**WAKAMIYA, Nobutaka**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4.  A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5.  A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a.  is transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  has been transmitted by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7.  A copy of the International Search Report (PCT/ISA/210).
8.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a.  are transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  have been transmitted by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
9.  A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10.  An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11.  A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12.  A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 13 to 20 below concern document(s) or information included:**

13.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15.  A **FIRST** preliminary amendment.
16.  A **SECOND** or **SUBSEQUENT** preliminary amendment.
17.  A substitute specification.
18.  A change of power of attorney and/or address letter.
19.  Certificate of Mailing by Express Mail
20.  Other items or information:

Computer Readable Copy of Sequence Listing  
Statement Regarding Sequence Listing Pursuant to 37 C.F.R. 1.825 (a) and 1.825(b)  
Return Receipt Postcard

21. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO .....	\$1,000.00
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but Internation Search Report prepared by the EPO or JPO .....	\$860.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....	\$710.00
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4).....	\$690.00
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4).....	\$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

20     30

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	- 20 =	0	x \$18.00	\$0.00
Independent claims	- 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	\$0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$860.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

\$0.00

**SUBTOTAL =**

\$860.00

Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).

20     30

+

\$0.00

**TOTAL NATIONAL FEE =**

\$860.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

\$0.00

**TOTAL FEES ENCLOSED =**

\$860.00

Amount to be: refunded	\$
charged	\$

A check in the amount of \$860.00 to cover the above fees is enclosed.

Please charge my Deposit Account No. in the amount of to cover the above fees.  
A duplicate copy of this sheet is enclosed.

The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 13-2855 A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

HOPKINS, Mark H.  
MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN  
6300 Sears Tower  
233 S. Wacker Drive  
Chicago, Illinois 60606  
U.S.

SIGNATURE

Mark H. Hopkins

NAME

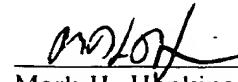
44,775

REGISTRATION NUMBER

DATE



- g. Statement Regarding Sequence Listing Pursuant to 37 C.F.R. §1.825(a) and §1.825(b);
- h. A check in the amount of \$860; Check No. 63153;

  
\_\_\_\_\_  
Mark H. Hopkins

Date: February 26, 2001

19036/37157 Feb. 26, 2001  
The Patent Office is hereby requested to acknowledge receipt  
of the following papers by stamping and returning this card.

With Serial Number and Filing Date  
Wakamiya, N., Applicant

09/763712

Transmittal Letter to The United States Designated/Elected  
Office Concerning a Filing Under 35 U.S.C. 371  
Fee \$ 860.00 Check No. 63153

Translation of Int'l App (47 pgs. specification; 16 pages  
claims, 1 page abstract, 17 pages sequence listing, 11  
pages figures)

Copy of Intl Search Report

Copy of Intl Preliminary Examination Report

Computer-readable Copy of Sequence Listing, Preliminary  
Amendment A; Statement Regarding Sequence Listing

J009 Rec'd PCT/PTO 26 FEB 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NO.		FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/763712		WAKAMIYA	N 19036/37157
INTERNATIONAL APPLICATION NO.			
PCT/JP99/04552			
I.A. FILING DATE	PRIORITY DATE		
24 AUG 99	24 AUG 98		

DATE MAILED: **20 APR 2001**

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:**

- (703) 308-4216, for Rules interpretation,
- (703) 308-4212, for CRF submission help,
- (703) 287-0200, for PatentIn software help.

  
Francine Young  
Telephone: 703-305-3662